

02 SEP 1999

PCT

1655

Patent

Attorney's Docket No. 002076-013

1655

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of)

F. Abel PONCE DE LEON et al.)

Application No.: 09/341,105)

Filed: July 2, 1999)

For: Z-CHROMOSOMAL MARKERS)
DERIVED FROM CHICKEN (GALLUS)
DOMESTICUS) AND USE THEREOF)
IN CHROMOSOMAL MAPPING)

Group Art Unit: Unassigned

Examiner: Unassigned

TRANSMITTAL OF VERIFIED STATEMENT CLAIMING
SMALL ENTITY STATUS - NONPROFIT ORGANIZATION
AND
REQUEST FOR REFUNDAssistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Transmitted herewith is a Verified Statement (Declaration) Claiming Small Entity Status, duly executed by the Assignee of the above-identified patent application.

It is respectfully requested that one-half of the original filing fee filed on \$670.00, in the amount of \$335.00, be refunded to Applicant and deposited in Deposit Account No. 02-4800.

Respectfully submitted,

BURNS, DOANE, SWECKER & MATHIS, L.L.P.

Date: September 2, 1999

By: Robin L. Teskin

Robin L. Teskin

Registration No. 35,030

P.O. Box 1404
Alexandria, Virginia 22313-1404
(703) 836-6620



Patent
Attorney's Docket No. 002076-013

Applicant or Patentee: F. Abel Ponce de Leon et al.
Application or Patent No.: 09/341,105
Filed or Issued: July 2, 1999
For: Z-CHROMOSOMAL MARKERS DERIVED FROM CHICKEN (GALLUS DOMESTICUS)
AND USE THEREOF IN CHROMOSOMAL MAPPING

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 C.F.R. §§ 1.9(f) AND 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION University of Massachusetts, A Public Institution of Higher Education
of the Commonwealth of Massachusetts, As Represented by Its Amherst Campus
ADDRESS OF ORGANIZATION Office of Vice Chancellor for Research At Amherst,
Amherst, Massachusetts 01002

TYPE OF ORGANIZATION

- ☒ University or other institution of higher education
☐ Tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3))
☐ Nonprofit scientific or educational under statute of state of The United States of America
(Name of state _____)
(Citation of statute _____)
☐ Would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3)) if located in The United States of America
☐ Would qualify as nonprofit scientific or educational under statute of The United States of America if located in The United States of America
(Name of state _____)
(Citation of statute _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) for purposes of paying reduced fees under Sections 41(a) and 41(b) of Title 35, United States Code, with regard to the invention entitled Z-CHROMOSOMAL MARKERS DERIVED FROM CHICKEN (GALLUS DOMESTICUS) AND USE THEREOF IN CHROMOSOMAL MAPPING by inventor(s) F. Abel Ponce de León, Stacy Ciufo, James M. Roblk, Sakthikumar Ambady, and J. Robert Smyth, Jr. described in

- ☐ the specification filed herewith
☒ Application No. 09/341,105, filed July 2, 1999
☐ Patent No. _____, issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the above-identified nonprofit organization are not exclusive, each individual, concern, or organization having rights to the invention is listed below,* and no rights to the

invention are held by any person, other than the inventor, who would not qualify as an individual inventor under 37 C.F.R. § 1.9(c), or by any concern that would not qualify as either a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern, or organization having rights to the invention averring to their status as small entities. (37 C.F.R. § 1.27.)

FULL NAME _____

ADDRESS _____

☐ individual ☐ small business concern ☐ nonprofit organization

FULL NAME _____

ADDRESS _____

☐ individual ☐ small business concern ☐ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earlier of the issue fee and any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b).)


I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code; and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Joseph F.X. McGuirl

TITLE IN ORGANIZATION Executive Director, CVIP

ADDRESS OF PERSON SIGNING University of Massachusetts, 365 Plantation Street,

Suite 130, Worcester, MA 01605

SIGNATURE  DATE August 20, 1999

Inventor: F. Abel Ponce de Leon et al.Appln. No. 09/341,105Filing Date: July 2, 1999Docket No.: 002076-013Work Atty: BLTDate: September 2, 1999

Dkt. Clerk Initials

The following was/were received in the U.S. Patent and Trademark Office on the date stamped hereon:

- ☐ Amendment or Response
- ☐ Preliminary Amendment
- ☐ Reply Transmittal Letter
- ☐ Petition for _____ Month Extension of Time
- ☐ Submission of Formal Drawings
w/ _____ sheet(s) of drawings (Fig(s). 1- _____)
- ☐ Request for Approval of Drawing Changes
w/ _____ sheet(s) of red ink drawings
- ☐ Notice of Appeal
- ☐ Brief for Appellant
- ☐ Request for Oral Hearing
- ☐ Reply Brief
- ☐ Response to Restriction Requirement or Election
of Species
- ☐ Terminal Disclaimer
- ☐ Certificate Under 37 C.F.R. § 3.73(b)

- ☐ Transmittal Letter for Missing Parts
of Application
- ☐ Executed Declaration/Power of Attorney
- ☒ Small Entity Declaration
- ☐ Assignment/Assignment Recordation Form
Cover Sheet (PTO-1585)
- ☐ Claim for Convention Priority
w/ _____ certified copy(s)
- ☐ Information Disclosure Statement
w/ _____ document(s)
- ☐ Information Disclosure Citation (PTO-1449)
- ☐ Information Disclosure Statement
Transmittal Letter
- ☐ Request for Corrected Notice of Recordation
of Assignment w/copy of Notice

- ☐ Check for \$ _____ is enclosed
- ☐ Check for \$ _____ is enclosed
- ☐ Charge \$ _____ to Deposit Account
- ☐ Issue Fee Transmittal
- ☐ Payment of Issue Fee and Authorization
to charge Deposit Account
- ☒ Request for Refund
- ☐ Status Inquiry
- ☐ Request for Corrected Filing Receipt
w/copy of official Filing Receipt
- ☐
- ☐
- ☐



(12/97)

8